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AUTHOR Epple, Margie
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ABSTRACT

The Rutgers University Library's Annex, a compact library storage facility opened in 1982, is designed to house approximately one-half million volumes of varying sizes, including monographs, serials, and containerized items in permanent storage boxes. By using the high density, economical storage at the annex for little-used library materials, space is made available in the university's library buildings for more frequently used materials. Even though materials have been relocated to the annex they continue to be available for either on-site patron use or more commonly, for delivery to another university library. This procedures manual describes the physical layout of the building, stack organization, the cataloging system used in the annex, selection criteria for materials to be stored at the annex, circulation policies, and patron facilities and services. (GL)

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ANNEX STORAGE FACILITY

RUTGERS UNIVERSITY LIBRARIES
1989

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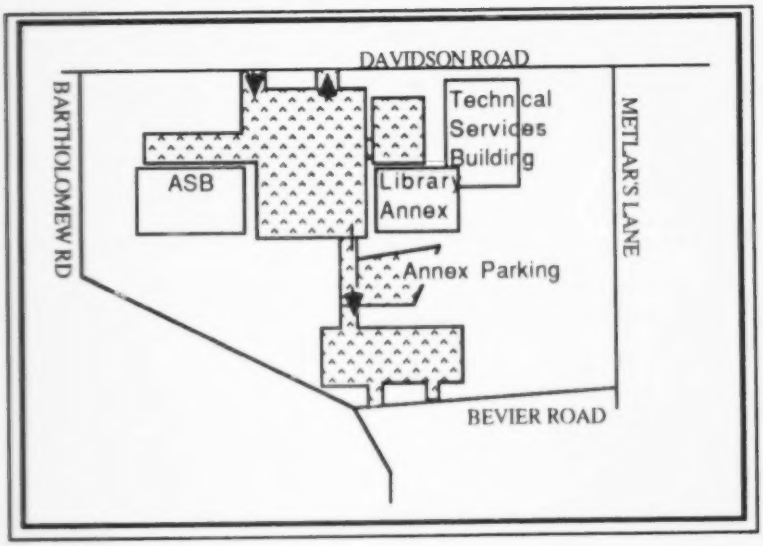
OPERATIONAL OVERVIEW

and

PROCEDURES MANUAL

Margie Epple

Coordinator for Circulation
and Interlibrary Services



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The Rutgers University Libraries' Annex is a compact library storage facility located adjacent to the University Libraries' Technical Services Building off Davidson Road on the Busch Campus. Opened in 1982 the three-story construction is designed to house approximately one-half million volumes of varying sizes. As of December 1988 over 230,000 permanent items had been added to the Annex--more than 22,000 in 1988. By using the high density, economical storage at the Annex for little-used library materials, space is made available in the University's library buildings for more frequently used materials.

The Annex building is provided with temperature controls to optimize atmospheric conditions for book storage. The facility is equipped with an alarm system with a direct link to the University Police. Once items are placed on shelves it is not intended that any further shifting take place. Access to the stacks is strictly limited. These factors provide favorable conditions for the preservation of fragile and semi-rare materials.

Even though materials have been relocated to the Annex they continue to be available for either on-site patron use or more commonly, by delivery to a library. During 1988, 3769 items were requested from the Annex collections and 228 photocopy requests were filled for journal articles. In addition, nearly 100 patrons used the reading room at the Annex to review stored materials during 1988.

Patrons may find Annex materials listed on IRIS, the older paper Annex list, or on the Rutgers Union List of Serials. After July 1987 monographs (and some classified serials) added to the Annex collections were given barcodes and are searchable on IRIS. Monographs circulated from the Annex since that time have also been added to the IRIS database.

STAFF

Two staff members are assigned to the Annex: the Annex Manager and a full-time voucher employee. Under the direction of the Coordinator for Circulation and Interlibrary Services, the Annex Manager is responsible for the coordination and management of the Annex and the movement of monographs, serials, and special collection materials to and from the facility. Staff at the Annex receive, process, and add and/or modify online records for materials added to the Annex shelves.

PHYSICAL LAYOUT OF THE BUILDING

The Annex is divided into staff work areas, patron reading room, and material storage rooms. The majority of space in the building is devoted to material storage with four smaller rooms making up the staff work areas: staff office area, shipping and receiving area, storage and computer rooms.

The office area contains work space for each employee, the serials records, copies of the paper Annex list, as well as the Rutgers Union List of Serials and other material locating aids.

All incoming shipments of materials are delivered to the Shipping and Receiving area. There the materials are identified and separated into categories such as items returned after circulating, new serials and monographs or Special Collections/Archives materials being sent for storage. All serials are sized, labeled and prepared for shelving in this room. Monographs are moved to the computer room where they are unpacked, sized, labeled and where appropriate data is entered into IRIS.

The patron reading room is a well lighted, quiet room containing three study carrels and one worktable. Here patrons may work with Annex materials which have been retrieved from the stack area by staff members.

PHYSICAL LAYOUT OF THE STACKS

Currently, more than half of the available floor space in the Annex is devoted to shelving. The remaining floor space, which will ultimately be outfitted with shelves, is now used for short term storage for large gift collections and Special Collections/Archives materials awaiting processing.

The physical layout of the stacks in the Annex is designed to accommodate high density storage of library materials. The building has three floors of stacks, each with 50 ranges of varying sizes. Aisle width between ranges is kept to a minimum (24").

The ranges are divided into seven size categories, five double-faced and two single-faced types. Shelf dimensions are as follows:

Range Type	Depth/Height/Width	Total # of shelves
A (double-faced)	9" x 9-3/4" x 42"	3456
B " "	9" x 10-3/4" x 42"	2784
C " "	9" x 12-3/4" x 42"	1848
D " "	12" x 20-3/4" x 42"	720
E " "	15" x 12-3/4" x 42"	4410
F (single-faced)	30" x 6-3/4" x 42"	1326
G " "	30" x 12-3/4" x 42"	525
	TOTAL	15069

Range types A through E are designed primarily for the storage of book-like materials. E shelves can accommodate three Paige boxes if necessary. A Paige box takes up a little more

than one cubic foot of space. F type shelves are designed to house newspapers and folio items laid flat. G shelves are intended for Paige box storage, accommodating six boxes each.

LOCATION CODE--THE ANNEX CALL NUMBER

Instead of being shelved in Library of Congress call number order, materials of similar height in the Annex are housed together on appropriately sized shelves to maximize the use of available shelf space. On each shelf materials are numbered consecutively giving a fixed order and unique address to every item stored in the Annex.

The nine-character Annex code is comprised of letters and numbers and one slash (/). When read the code pinpoints the exact location of an item. By reading the code from top left to bottom right, the system directs you from the largest geographic location; i.e. floor, down to the exact placement of the item on its shelf. The following is an example of the location code and what each component in the code represents.

C02
G05
/15

The above code, when separated, contains five separate units of information indicating: floor, range, stack, shelf and fixed shelf location.

Line one, C02, contains two units of information. The first character represents the floor designation. This is always in letter formation and can be A, B or C representing floors 1, 2 or 3 respectively. The second two characters, always numeric, represent the range location on the cited floor. Ranges are numbered 01 through 42 consecutively for the central ranges and 50 through 57 for wall mounted ranges. In this example the item is located on range 02 on floor C.

The second line, G05, also carries two information components: stack and shelf. Stack lettering runs from A through R omitting the ambiguous characters "i" and "o". This example is housed on stack G. Shelves are numbered sequentially from bottom to top numbered 01 to 13, depending on the number of shelves on the range. The volume in the example is located on the fifth shelf.

The information following the (/) on the last line indicates the fixed location of the item on the shelf. In this case the example is the 15th item on the shelf.

The information described by the example location code is, therefore, as follows:

C02	C floor	02 range
G05	G stack	05 shelf
/15	15th book	

SELECTION CRITERIA FOR MATERIALS TO BE STORED AT THE LIBRARY ANNEX

The single most important factor in determining whether materials should be housed at the Library Annex is low use. Low use may be determined by low circulation activity or low use perceived from physical inspection of the material. The following are examples of criteria for determining if a given item has had little use:

1. Outdated or superseded materials which have scholarly value.

2. Sections of an LC class in which the university has no current teaching or research interest.

3. Age, for instance material with pre-1900 publication dates.

4. Books in uncommon and recondite languages on topics of lesser interest at Rutgers.

5. Discrete collections such as Rutgers University dissertations.

6. Unusually large or small items.

7. Categories of materials which are candidates for micro-production.

8. Categories of materials not available in microform.

In addition to low use materials, items in need of special handling, in fragile condition or unbindable may be transferred to the Annex if they merit saving for future preservation.

Materials that have low use should be reviewed with the following additional critieria in mind:

1. If another copy of the title is located at a New Brunswick library (including the holding library), or already at the Annex, it should not be transferred to storage but rather withdrawn from the collection.

   In the case of multiple copies of serials, a check should be made for condition and completeness of runs; runs should be combined where practical and the poorer condition set should be withdrawn.

2. Material not likely to have relevance to Rutgers academic programs should be withdrawn and offered to the appropriate RLG member libraries.

3. In general, when a microform or other reproduction is held in the system, the hard copy should not be sent to the Library Annex.

4. Where an artifact is of value, requiring security or physical protection beyond the norm, it should not be sent to the Library Annex but should be considered a candidate for transfer to Special Collections/Archives, which may elect to control such materials at the Annex or elsewhere.

5. Unprocessed materials.

6. Recently acquired materials.

The collections located at the Annex in terms of what is sent and the interpretation and regulation of the Selection Criteria are the responsibility of the Associate University Librarian for Collection Development and Management. While it is not necessary to consult on an individual title basis in applying the guidelines, projects of any size must be discussed with and approved by the Associate University Librarian. The criteria are to be considered general guidelines. In all cases judgement must be used. Teaching/Research faculty review of specific titles may be deemed necessary.

SENDING MATERIAL TO THE ANNEX FOR STORAGE

Three types of material are currently sent to the Annex for storage: monographs, serials and containerized items. Sending each type of material is a cooperative effort between the owning library staff and the staff of the Annex. The procedures detailed here include local procedures as well as those performed by the Annex staff. Variations to these "standard" procedures are sometimes necessary because of staffing shortages, time considerations, funding, etc. at either the owning library or the Annex. The Annex Manager and owning library staff may develop different procedures on an ad hoc basis to deal with specific situations as they arise.

Cataloged Monographs

Items with Barcodes

The owning library changes the Material Type to ANNEX in MRMS, searching RLIN for those items with full bibliographic records (i.e. those with an RLIN preface in the 001 field). If a NJRG record exists for that exact copy, the owning

library notifies Catalog Services (using the Change/Correction Request Form) to change the RLIN stamp to ANNEX.

When the material is received at the Annex, staff there add the Annex shelf location in the "$n" subfield in the 966 tag in MRMS. The Annex shelf location will therefore appear in the online MRMS record, in the 966 field. This shelf location does not however appear in the public access mode of circulation currently available to patrons.

Items without Barcodes

The owning library barcodes the material, pulls the shelflist card, and searchs MRMS for a matching bibliographic record, creating a brief record if no record is found or adding a 966 to an existing record, using ANNEX as the Material Type.

If a MRMS record with a 966 displaying the same location and copy BUT WITH NO BARCODE is found, with an RLIN preface in the 001 field, the owning library will search RLIN. If a NJRG record exists for that exact copy, the owning library will notify Catalog Services (using the Change/Correction Request form) to change the RLIN stamp to ANNEX.

When the material is received at the Annex, staff will add the Annex shelf location to the "$n" subfield in the 966 tag in MRMS.

As shipments are received, they are unpacked and placed on carts according to height. When a cart is full, the books are then labeled with Annex location codes. The MRMS record for each item on the cart is then changed to include the Annex location in the 966 tag. Once the entire cart has been entered into IRIS, the books are shelved in the stack area.

Serials

Serials in the Annex can be accessed by using the Rutgers Union List of Serials and/or IRIS. Sending libraries have the option of processing LC classed serials as they would monographs, following the directions above, or following the procedures below for serials classed as PERiodicals.

The owning library prepares an Annex Kardex form for each title being transferred to the Annex indicating: title, sending unit, circulation status, volumes and/or corresponding years and type of serial. The Annex Kardex form is filled out from the volumes in hand, not the shelf list or unit Kardex. The volumes to be transferred are then noted as having been shipped to the Annex on the unit's Kardex.

The kardex form is placed in the first volume of the title, sticking out, easily visible. No title should be shipped unless all volumes to be transferred are included in the shipment.

All serial titles being transferred to the Annex should be reported to the Rutgers Union List of Serials as location changes since serial runs for PER classed items will continue to be accessed by using the list. If a serial is selected for transfer and is not found on the union list, a RULS reporting form should be completed and processed by the sending library listing all volumes owned by the unit.

When serial runs are received, Annex staff unpack and place the volumes on carts according to height. An attempt is made to keep serial runs together on the shelf but when volume size varies greatly, a run may be split and placed on different shelves. After checking the enclosed Kardex card for completeness, the runs are labeled with Annex location codes. Before shelving, the Kardex card is completed with corresponding volume numbers and their location codes. The Kardex card is then filed alphabetically by title.

Containerized Items

Containerized items are permanent storage boxes which contain a variety of unique information pieces. For the most part, these containers are grouped together in collections and are not isolated items. Procedures for processing these materials are:

The owning library selects containerized item collections or parts of collections for transfer. Because each box is considered an individual item Annex staff do not concern themselves with the contents. Inventories of the unique information pieces contained in each permanent carton are produced and kept at the owning library as finding tools. If an item in one of the boxes is requested by a patron or staff, the entire box is sent to the requesting library.

These materials are permanently housed in Records Center Boxes (Paige) (15"x13"x11") or manuscript boxes (12-1/2"x5-1/2"x10"; 15-1/2"x10"), (Hollinger) or newspaper storage boxes.

The owning library compiles a list of each collection or part of collection being sent indicating the title and/or assigned number of the collection and the number of boxes being shipped. This information is written on an "Annex Containerized Collection" form. A space is left to the right of each box number to enter the assigned Annex location code. The Annex location code labels can be either requested from the Annex and affixed at the unit or Annex staff will add the labels when the boxes are received at the

Annex. Space is available on the form to indicate circulation status and record retention data.

Before shipping to the Annex, the owning library prepares a label for each carton indicating the title and/or assigned number of the collection and the unique box number assigned. This information must match the information written on the "Annex Containerized Collection" form.

Labels are attached in the center of a 13" side (smallest side) of Records Center Boxes and a 5-1/2" side (smallest side) of Manuscript Boxes.

When the boxes arrive at the Annex, staff match the boxes to the information on the Annex Containerized Collection form. Any discrepancies are immediately reported to the sending library.

Annex staff place the original form in looseleaf binders at the Annex titled Annex Containerized Collections. Filing is alphabetical for titled collections and numerical for numbered collections.

CIRCULATION POLICIES FOR STORED MATERIALS

Establishing the circulation status for every monograph and serial transferred to the Annex is the responsibility of the sending library. The Annex "Circulation Status" form is used to indicate the desired status for monographs and classified serials. Other serials have a circulation policy option on each kardex form sent to the Annex. Choices for circulation are:

0 = Normal (May be charged out to patrons)
1 = In library use only (Must be used within the requesting library)
2 = In Annex use only

The Annex staff will honor requests for materials made through the Circulation Departments of the libraries or by the Department of Specials Collections/Archives and the Document Delivery Services offices only.

Materials will not be lent directly to individuals nor be allowed to be examined at the Annex unless approval from a library or the Department of Special Collections and Archives preceeds the request.

Material sent to the Annex is available for use by patrons at any library regardless of sending/owning library. However, Special Collections and Archive materials must be requested through that department. In all cases, when a request is made for Annex materials, the predetermined circulation status will

be honored. Circulation status may be changed by the owning library but the change must be processed through the Annex manager.

REQUESTING ANNEX MATERIALS

Eligible library borrowers may request Annex materials from any library location and may request materials placed in storage by any library. In most cases, the material is available for use within 24 working hours of the request being submitted by the patron.

Patrons and staff use the "Materials Delivery" form to request material from the Annex. The following information is entered on the form:

1. Patron name and borrower status.

2. Requesting library and, if different, delivery destination (including Annex Reading Room).

3. If the item appears on the Annex paper list, IRIS or the Rutgers Union List of Serials the following information is entered:

   Author
   Title
   Call number or Su Doc number
   Annex location code, if available (found in the $n field of the 966 tag in MRMS)

After obtaining all necessary information, library staff request all materials via the telephone.

The Annex will normally be staffed Monday through Friday, 8:30 a.m. to 4:30 p.m.. After working hours, on weekends and University holidays an answering machine is used to record incoming requests. Weekday evening requests will be processed the following morning. Weekend or holiday requests will be processed in the morning of the first workday after the weekend or holiday. Annex material is generally sent from the Annex the same day as the request is made.

It is expected that libraries will maintain active files of requests to be able to answer followup questions/status checks by patrons or Annex staff.

When requests are telephoned to the Annex, staff there transfer the information to an Annex Telephone Request slip. If the request does not contain the Annex shelf location code, the Annex Paper List, IRIS, RULS, or the SC/A collection notebooks are searched for location information and the code is entered on the picking slip. The item is then physically pulled from the shelf and brought to the Annex circulation station.

A yellow band is placed around the front cover of the book/journal indicating that the item is an Annex book and its circulating status. The item is sent to the requesting library.

CIRCULATING ANNEX MATERIALS FROM YOUR LIBRARY

When Annex stored materials arrive at the requesting library and have no circulation restrictions, the material may circulate according to accepted library policies. Books without barcodes are circulated through circulation-on-the-fly. Annex materials used at the Annex, Special Collections/Archives or are restricted to In Library Use do not have to be barcoded.

Those libraries using centralized Plan C procedures will forward the punch card to the Bibliographic Control Department prepared as usual (with barcode and copy of the shelflist attached). If the shelflist must come from another library, this should be noted on the card so that it may be retrieved in the Bibliographic Control Department.

The Marc Request record created for these items will use the MRMS monograph or serials formats, but the Annex shelf location will be entered into the 966 $n subfield with material type "ANNEX" in 966 subfield $m. The original call number of the owning library will be entered into subfield $s.

A 966 field added to an existing record will also be structured in this way.

The following is the subfield entry outline:

SUBFIELD $c:	Copy number of the owning library - not an Annex copy number
SUBFIELD $d:	Authorized MDES abbreviation with volume level number (if present)
SUBFIELD $l:	Location of the owning library
SUBFIELD $s:	Owning library call number
SUBFIELD $m:	Material type "ANNEX"
SUBFIELD $n:	ANNEX shelf location and circulation status
SUBFIELD $b:	Barcode number attached to the source record being input

As previously explained, the Annex shelf location consists of nine characters. On IRIS however, the code is expanded to include the circulation status. The Annex shelf location number on IRIS (or on the Annex paper lists) consists of 13 characters, each position in the character string having a different value:

1	Circulation status
2-4	Empty (zeros)
5	Floor Letters (A, B, C)
6-7	Range number (1 thru 57)
8	Stack section (A thru R)
9-10	Shelf number (1 thru 13)
11	Slash (/)
12-13	Book location on shelf

EXAMPLES:

$c1$dv.14$1ALEX$sHM301.C3$mANNEX$n0000B22R09/05$b39030 etc.

$c2$dyr.1978$1DGLSS$sPS432.M7$mANNEX$n0000A21R12/33$b39030 etc.

After the new record or a 966 is added to an existing record in MRMS, all information (shelflist copy and punched card) is sent to Catalog Services for RLIN updating as when sending items to the Annex.

CIRCULATING ANNEX MATERIALS FROM THE ANNEX

Annex materials without restrictions may be charged out from the Annex. However, patrons must still place their initial request through a circulation department using the "Materials Delivery" form. Library staff must call ahead to verify that the requested item is available for circulation and sign the form indicating that a staff person has reviewed the request.

Material will be available for use when the patron arrives. Material will not be made available to any patron unless they possess a signed form upon arrival at the Annex.

USE OF MATERIALS AT THE ANNEX

Patrons have the option of requesting delivery of circulating materials to a library or visiting the Annex themselves to use the reading room for non-circulating items or to view long runs of serials. Although long runs of serials are transported between the Annex and libraries, when patrons are unsure that the information they need is in that run they should

be advised to visit the Annex. If the patron comes to the Annex staff will be available to retrieve additional items from the stacks eliminating transportation time for delivery.

When a patron requests use of material at the Annex, the library should first telephone the Annex staff to verify that the material is on the shelf. The information from the Materials Delivery form is necessary, that is, author, title, call number, etc.. Once the availability of the material is determined, the unit completes and signs the Materials Delivery form indicating that a staff person has reviewed the request.

Material will not be made available to any patron unless they possess a Materials Delivery form upon arrival at the Annex. After issuing this form, circulation staff should notify the Annex staff when they can expect the patron's arrival. Material will be ready for use when the patron arrives.

Annex passes may be issued for longer periods of time. Long-term passes eliminate the need to have library staff approve each visit to the Annex. Circulation staff should consult with the Annex Manager if a need arises for long-term passes.

The Annex Reading Room is available for use during all hours that the Annex is open. Patrons unable to use the Reading Room during these hours should contact the Annex Manager about alternative arrangements.

When research cannot be completed in one visit, patrons may return to use the same materials without having to return to a library. The Annex staff will hold the needed material aside on the Reading Room hold shelf.

PHOTOCOPYING SERVICES

Photocopies will be made in response to requests through Materials Delivery for no fee and will be delivered to the requesting library location. In addition, a photocopier is available on the Annex premises for patrons to purchase copies. There are currently NO copicard facilities, coins are needed to make copies.

Photocopies will normally not be prepared in advance for patron pick-up at the Annex.

Under no circumstances will the Annex provide photocopies of materials from the Department of Special Collections/Archives, nor will patrons be permitted to photocopy materials from that department. Photocopies of these materials can be requested only by the staff of that department or made by patrons while in the SC/A area at Alexander Library.

STATISTICS

Records are kept on the number of items circulated from the Annex, materials added to the Annex, and patron use of the facility.

Copies of monthly statistics are sent to the Coordinator for Circulation and Interlibrary Services and included as part of the University Libraries statistical reporting process.

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